



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant:	Yung Yip; Alan R. Olson	Examiner:	Tanh Q. Nguyen
Serial No.:	10/047,280	Group Art Unit:	2182
Filed:	January 14, 2002	Docket No.:	10305US01
Title:	SYSTEM HAVING TAPE DRIVE EMULATOR AND DATA CARTRIDGE CARRYING A NON-TAPE STORAGE MEDIUM		

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**FIFTH SUPPLEMENTAL DECLARATION UNDER 37 C.F.R. 1.131**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

We, Yung Yip, Alan R. Olson, Eric D. Levinson, Kent J. Sieffert, and Susan J. Daly  
declare as follows:

1. Mr. Yip and Mr. Olson are named inventors in above-referenced Patent Application Serial No.10/047,280. Mr. Yip and Mr. Olson are employees of Imation Corp., the Assignee of record for the present application.

2. Mr. Eric Levinson and Mr. Kent Sieffert are Applicant's attorneys. Mr. Levinson is an attorney of record in the Patent Application Serial No.10/047,280 and is an employee of Imation Corp., and Mr. Sieffert is retained as outside patent counsel by Imation Corp. Ms. Daly is Mr. Levinson's assistant and is an employee of Imation Corp.

3. As evidenced by this Declaration and Exhibit A referenced by this Declaration, Mr. Yip and Mr. Olson conceived the inventions set forth in claims 1, 2, 4-8, 10-16, 26, 27, 30, 31, 33 and 34 of this application prior to October 5, 2001, and worked diligently with Mr. Levinson and Mr. Sieffert on constructive reduction of such inventions to practice from prior to October 5, 2001 to January 14, 2002, the filing date of this application.

### **Conception**

4. Exhibit A, attached to this Declaration, is an Invention Record for Imation Corp. prepared prior to October 5, 2001.

5. Exhibit A and this Declaration provide evidence of conception of the inventions set forth in pending claims 1, 2, 4-8, 10-16, 26, 27, 30, 31, 33 and 34 prior to October 5, 2001.

6. Claim 1 requires a system comprising a data cartridge carrying a non-tape storage medium, wherein the data cartridge includes read/write circuitry to access the non-tape storage medium and an external electrical connector coupled to the read/write circuitry. Claim 1 further requires a tape drive emulator having an electrical socket to receive the electrical connector of the data cartridge.

We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 1 prior to October 5, 2001. Figure 1 of Exhibit A illustrates an industry standard data cartridge housing that has been configured to contain an internal disk drive. On page 2, Exhibit A states that “the data storage element of an existing removable tape cartridge system is replaced with [an] alternative medium such as a rigid disk drive.” On page 2, Exhibit A further states that one benchmarked disk drive is a 40 GB IDE disk drive with a minimum sustained transfer rate of 20 MB/s. On page 2, Exhibit A states that “[t]he data cartridge would contain at least the complete mechanical components of the disk drive, including motor, disk(s), and head actuator assembly. Analog electronics such as preamps and write drivers should also be contained within the cartridge.” Figure 1 of Exhibit A illustrates the data cartridge having an electrical interface for coupling to a tape drive emulator.

On page 2, Exhibit A states that “[t]he tape drive portion of the system would be replaced with an electronic interface, power supply, and receptacle mechanism for seating and electrically connecting to the cartridge.” Figure 1 of Exhibit A illustrates the drive emulator having an electrical socket capable of receiving the data cartridge.

7. Claim 2 requires that the socket comprises a zero insertion force (ZIF) socket having a set of connectors that engage the electrical connections of the data cartridge. We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 2 prior to October 5, 2001. Exhibit A illustrates the tape drive emulator as having a zero insertion force (ZIF) connector. On page 3, Exhibit A states that “the drive emulator can contain some form of motorized Zero Insertion Force (ZIF) socket for making robust electrical connection to the cartridge I/O and power input (emphasis added).”

8. Claim 4 requires a system comprising a data cartridge carrying a non-tape storage medium, wherein the data cartridge includes an external electrical connector. Claim 4 further requires a tape drive emulator having an electrical socket to receive the electrical connector of the data cartridge.

We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 4 prior to October 5, 2001. Figure 1 of Exhibit A illustrates an industry standard data cartridge housing that has been configured to contain an internal disk drive. On page 2, Exhibit A states that “the data storage element of an existing removable tape cartridge system is replaced with [an] alternative medium such as a rigid disk drive.” On page 2, Exhibit A further states that one benchmarked disk drive is a 40 GB IDE disk drive with a minimum sustained transfer rate of 20 MB/s. On page 2, Exhibit A states that “[t]he data cartridge would contain at least the complete mechanical components of the disk drive, including motor, disk(s), and head actuator assembly. Analog electronics such as preamps and write drivers should also be contained within the cartridge.” Figure 1 of Exhibit A illustrates the data cartridge having an electrical interface for coupling to a tape drive emulator.

On page 2, Exhibit A states that “[t]he tape drive portion of the system would be replaced with an electronic interface, power supply, and receptacle mechanism for seating and electrically connecting to the cartridge.” Figure 1 of Exhibit A illustrates the drive emulator having an electrical socket capable of receiving the data cartridge.

9. Claim 5 requires that the tape drive emulator comprises a host interface to electrically couple the tape drive emulator to a host computing device. We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 5 prior to October 5, 2001.

Figure 1 of Exhibit A illustrates the drive emulator having an internal computer or application specific integrated circuit (ASIC) and a "Connection to Host." On page 3, Exhibit A states that "[t]he drive emulator receives commands and data from the host application . . . . An example would be a SCSI host interface between host and emulator . . . ."

10. Claim 6 requires that the host interface conforms to one of the Small Computer System Interface (SCSI), the Fiber Channel interface, and the Enhanced Integrated Drive Electronics (EIDE) interface. We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 6 prior to October 5, 2001.

On page 3, Exhibit A states that "[t]he drive emulator function can be executed by a single board computer like a PC104, with the appropriate interface adapters (SCSI, EIDE, ESCON, FIBRE). This can be accomplished with commercially off-the-shelf components."

11. Claim 7 requires that the tape drive emulator comprises a translation unit to translate commands between the host interface and the electrical socket. We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 7 prior to October 5, 2001. On page 3, Exhibit A specifically states that "[t]he drive emulator receives commands and data from the host application . . . . An example would be a SCSI host interface between host and emulator . . . ." Page 3, Exhibit A also states that "[t]he drive emulator receives commands and data from the host application, interprets it [the commands and data] into the disk drive interface format, and vice versa [emphasis added]."

12. Claim 8 requires that the translation unit receives data stream commands from the host interface and translates the data stream commands into disk drive format commands. We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 8 prior to October 5, 2001.

On page 3, Exhibit A states that “[t]he drive emulator receives commands and data from the host application . . . . An example would be a SCSI host interface between host and emulator . . . .” Page 3, Exhibit A states that “[t]he drive emulator receives commands and data from the host application, interprets it [the commands and data] into the disk drive interface format, and vice versa.”

13. Claim 10 requires that the non-tape storage medium comprises a disk-shaped storage medium. We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 10 prior to October 5, 2001.

On page 1, Exhibit A states that “rapid access and high data rate data cartridge systems compatible with existing automation and hosts can be achieved by replacing tape with disk drives or other forms of storage elements.” Figure 1 of Exhibit A illustrates an industry standard data cartridge housing that has been configured to contain an internal disk drive. On page 2, Exhibit A states that “[t]he data storage element of an existing removable tape cartridge system is replaced with [an] alternative medium such as a rigid disk drive.” On page 2, Exhibit A further states that one benchmarked disk drive is a 40 GB IDE disk drive with a minimum sustained transfer rate of 20 MB/s. Page 2, Exhibit A states that “[t]he data cartridge would contain at least the complete mechanical components of the disk drive, including motor, disk(s), and head actuator assembly. Analog electronics such as preamps and write drivers should also be contained within the cartridge.” Figure 1 of Exhibit A illustrates the data cartridge having an electrical interface for coupling to a tape drive emulator.

14. Claim 11 requires that the data cartridge includes a self-contained disk drive housing the disk-shaped storage medium and a disk driver controller. Claim 12 requires that the data cartridge further comprises a disk drive controller to control access to the non-tape storage medium, wherein the controller communicates with the tape drive emulator according to one of the Small Computer System Interface (SCSI), the Fibre Channel interface, and the Enhanced Integrated Drive Electronics / AT Attachment (EIDE/ATA) interface.

We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claims 11 and 12 prior to October 5, 2001. Figure 1 of Exhibit A illustrates an industry standard data cartridge housing that has been configured to contain an internal disk drive.

On page 2, Exhibit A states that “[t]he data storage element of an existing removable tape cartridge system is replaced with [an] alternative medium such as a rigid disk drive.”

On page 2, Exhibit A further states that one benchmarked disk drive is a 40 GB IDE disk drive with a minimum sustained transfer rate of 20 MB/s. On page 2, Exhibit A states that “[t]he data cartridge would contain at least the complete mechanical components of the disk drive, including motor, disk(s), and head actuator assembly. Analog electronics such as preamps and write drivers should also be contained within the cartridge.”

On page 2, Exhibit A states that “[a]ll of the disk drive electronics can be contained within the cartridge (emphasis added).”

On page 3, Exhibit A states that “[t]he drive emulator function can be executed by a single board computer like a PC104, with the appropriate interface adapters (SCSI, EIDE, ESCON, FIBRE). This can be accomplished with commercially off-the-shelf components.”

15. Claim 13 requires that the tape drive emulator provides power to the data cartridge via the electrical connector of the data cartridge.

We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 13 prior to October 5, 2001.

Exhibit A illustrates the tape drive emulator as having a zero insertion force (ZIF) connector. On page 3, Exhibit A clearly states that “[t]he drive emulator can contain some form of motorized Zero Insertion Force (ZIF) socket for making robust electrical connection to the cartridge I/O and power input (emphasis added).” Thus, the submitted Exhibit A specifically describes that the ZIF connector of the tape drive emulator makes an electrical connection to a power input of the cartridge.

16. Claim 14 requires that the data cartridge and the tape drive emulator are compatible with existing automation systems. We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 14 prior to October 5, 2001.

On page 2, Exhibit A expressly states that “the invention describes a rapid access data cartridge and drive emulator which is compatible with existing tape drive formats, automation systems and host applications.”

On page 1, Exhibit A states that “rapid access and high data rate data cartridge systems compatible with existing automation and hosts can be achieved by replacing tape with disk drives or other forms of storage elements.”

On page 2, Exhibit A lists numerous existing tape library automation systems with which the tape drive emulator could be compatible, including automation systems supporting the 3590, 9840, 9940, SLR, DLT and LTO tape data cartridges.

17. Claim 15 requires that the data cartridge comprise a housing conforming to industry standard dimensions for a magnetic tape drive cartridge.

We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 15 prior to October 5, 2001.

On page 2, Exhibit A states that “the invention describes a rapid access data cartridge and drive emulator which is compatible with existing tape drive formats, automation systems and host applications.”

On page 2, Exhibit A lists numerous existing industry-standard tape data cartridges for which the tape medium may be replaced with a disk-based storage medium. Exhibit A specifically lists the 3590, 9840, 9940, SLR, DLT and LTO industry-standard tape data cartridges.

On page 1, Exhibit A states that “rapid access and high data rate data cartridge systems compatible with existing automation and hosts can be achieved by replacing tape with disk drives or other forms of storage elements.”

On page 2, Exhibit A states that “[t]he data cartridge physical dimensions and features are compatible with existing library automation.”

18. Claim 16 requires that the tape drive emulator has a form factor of an industry standard tape drive.

We rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claim 16 prior to October 5, 2001.

On page 2, Exhibit A states that “the invention describes a rapid access data cartridge and drive emulator which is compatible with existing tape drive formats, automation systems and host applications (emphasis added).”

On page 3, Exhibit A further states that the “data cartridge physical dimensions and features are compatible with existing library automation.”



19. Claims 26, 27 and 30, 31, 33 and 34 are directed to a tape drive emulator having requirements similar to those discussed above. As discussed above, we rely on Exhibit A as evidence that Mr. Yip and Mr. Olson conceived the elements set forth in claims 26, 27 and 30, 31, 33 and 34 prior to October 5, 2001.

### **Diligence**

20. Mr. Yip, Mr. Olson, Mr. Levinson and Mr. Sieffert worked with reasonable diligence on the inventions set forth in claims 1, 2, 4-8, 10-16, 26, 27, 30, 31, 33 and 34 during the three month period from prior to October 5, 2001 to at least January 14, 2002, the filing date of this application, i.e., the date of our constructive reduction to practice.

21. During the period from prior to October 5, 2001 to January 14, 2002, Mr. Yip and Mr. Olson worked with their attorneys, Mr. Sieffert and Mr. Levinson, with reasonable diligence to prepare a first draft, a revised draft and a final draft of present patent application for filing with the United States Patent Office.

22. Prior to October 5, 2001, Mr. Levinson, counsel for the Assignee (Imation Corp.) engaged Mr. Sieffert to prepare the patent application. Exhibit B, attached to this Declaration, is a copy of an engagement letter sent to Mr. Sieffert by Mr. Levinson prior to October 5, 2001.

23. On October 9, 2001, Mr. Sieffert met with Mr. Yip. During this meeting, Mr. Yip discussed the details of the invention. Exhibit C, attached to this Declaration, is a copy of an invoice that evidences the meeting between Mr. Kent J. Sieffert and Mr. Yip. Any period between October 5, 2001 and October 9, 2001 during which the invention was not worked on was due to holidays or normal attorney workload taken up by Mr. Sieffert in chronological order according to his docket and carried out expeditiously.

24. Mr. Sieffert prepared a draft of the present application between October 9, 2001 and December 10, 2001. Mr. Sieffert communicated that draft to Mr. Yip and Mr. Olson on December 10, 2001. Exhibit D, attached to this Declaration, is a copy of an electronic communication prepared by Mr. Sieffert and sent to Mr. Yip and Mr. Olson on December 10, 2001. Any period between prior to October 9, 2001 and December 10, 2001 during which the invention was not worked on was due to holidays or normal attorney workload taken up by Mr. Sieffert in chronological order according to his docket and carried out expeditiously.

25. Upon receiving the draft patent application on December 10, 2001, Mr. Yip and Mr. Olson commenced reviewing the draft of the present application with reasonable diligence, and Mr. Yip met with Mr. Kent J. Sieffert on December 14, 2001 to communicate their recommended revisions of the draft of the present application. Exhibit E, attached to this Declaration, is a copy of an invoice that evidences the meeting between Mr. Kent J. Sieffert and Mr. Yip on December 14, 2001. Any period between prior to December 10, 2001 and December 14, 2001 during which the invention was not worked on was due to normal attorney workload taken up by Mr. Sieffert in chronological order according to his docket and carried out expeditiously.

26. During the period from December 14, 2001 to December 21, 2001, Mr. Yip and Mr. Olson worked with Mr. Sieffert to revise the patent application. Exhibit F, attached to this Declaration, is a copy of an electronic communication prepared by Mr. Sieffert on Friday, December 21, 2001. As evidenced by Exhibit F, Kent J. Sieffert communicated a revised draft to Mr. Yip, Mr. Olson and Mr. Eric Levinson on Friday, December 21, 2001. Exhibit G, attached to this Declaration, is a copy of a letter sent by Mr. Sieffert on Monday, December 24, 2001. As evidenced by Exhibit G, Kent J. Sieffert communicated the figures for the patent application to Mr. Eric Levinson on Monday, December 24, 2001. Any period between prior to December 14, 2001 and December 24, 2001 during which the invention was not worked on was due to normal attorney workload taken up by Mr. Sieffert in chronological order according to his docket and carried out expeditiously.

27. Exhibit H, attached to this Declaration, is a copy of corporate timesheets for Ms. Susan Daly, who is Mr. Eric Levinson's assistant. Ms. Daly has responsibility for processing Mr. Levinson's mail received by Imation Legal Affairs, and is responsible for preparing all documents necessary to file patent applications at the direction of Mr. Levinson. As evidenced by Exhibit H, Ms. Daly was on corporate holiday from Monday, December 24, 2001 to Tuesday, January 1, 2002, using a single day of vacation on Monday, December 31, 2001. As evidenced by Exhibit H, Ms. Daly returned to work on Tuesday, January 2, 2002.

28. On January 2, 2002, Ms. Daly processed the patent application and figures received from Mr. Sieffert. At the direction of Mr. Levinson, Ms. Daly proofed the patent application for typographical or grammatical errors over the next four business days and finalized the patent application on Tuesday, January 8, 2002 in a form acceptable for filing. Exhibit I, attached to this Declaration, is a screen print from Imation's corporate network. Exhibit I evidences that the patent application was last modified on Tuesday, January 8, 2002 and placed in its present form for filing with the U.S. Patent and Trademark Office.

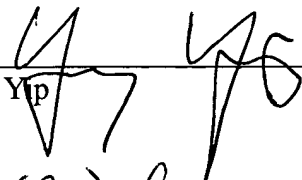
29. During the next three business days, i.e., from Wednesday January 9, 2002 through Friday, January 11, 2002, Ms. Daly prepared the formal filing papers and scheduled a meeting with Mr. Levinson, Mr. Yip and Mr. Olson for the following Monday, January 14, 2002, to review the patent application and execute the declaration.

30. On Monday, January 14, 2002, Mr. Yip and Mr. Olson executed the declaration, as evidenced by the declaration as originally submitted to the U.S. Patent Office. Mr. Levinson filed the present application on Monday, January 14, 2002, as evidenced by the filing date awarded the application.


31. During the period between Monday, December 24, 2001 and Monday, January 14, 2002, Mr. Levinson also worked on a backlog of unrelated cases taken up in chronological order according to his docket as in-house patent counsel for Imation. Mr. Levinson carried out this work expeditiously, and filed the application on January 14, 2002. Any period of time between December 24, 2001 and January 14, 2002, during which the invention was not worked on by Mr. Levinson or his assistant Ms. Daly under his supervision was due to intervening holidays, as evidenced above, and the normal workload associated with Mr. Levinson's practice that was taken up in chronological order.

We hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

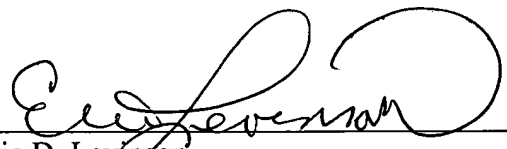
Date: November 9, 2006

Signed:   
Yung Yip

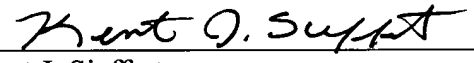
Date: November 9, 2006

Signed:   
Alan R. Olson

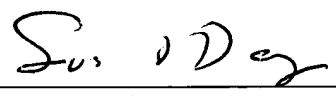
Date: November 9, 2006

Signed:   
Eric D. Levinson

Date: October 18, 2006

Signed:   
Kent J. Sieffert

Date: November 8, 2006

Signed:   
Susan J. Daly

## EXHIBIT A

Imation

## Invention Record

I.I.R. # 2001-0094		Status: Recorded
Originating Imation Unit: Data Storage Systems		Send Original to I.P. Scientist/Manager: Robert W. Frits/CS/Imation
Title: Format Compatible Rapid Access Data Cartridge System with Extended Capacity		
Investigator Information:		
Investigator Yung Yip	Imation Emp. Num. 684575	
Tech. Ntbk. No. 250	Div. / Lab Name Data Storage Systems Lab	
Investigator Alan R. Olson/DSP/Imation	Imation Emp. Num. 682008	
Tech. Ntbk. No.	Div. / Lab Name Data Storage Systems Lab	
Investigator	Imation Emp. Num.	
Tech. Ntbk. No.	Div. / Lab Name	

Include all of the following:

1. Short description of the invention:

Rapid access and high data rate data cartridge systems compatible with existing automation and hosts can be achieved by replacing tape with disk drives or other forms of storage elements.

2. Describe the utility of the invention and describe the advantages of this invention over the current art.

The convergence of unit storage cost between rigid disks and tape systems makes this concept an economically viable disruptive technology. It also provides users of library systems a new dimension for near line applications. This invention can also competes directly with optical jukebox applications.

3. Provide one or more detailed examples which illustrate the invention. Incorporate any needed sketches or informal drawing in the text of the I.I.B.

### The Invention

This invention describes a rapid access data cartridge and drive emulator which is compatible with existing tape drive formats, automation systems and host applications. This invention also provides a means to extend the format capacity and data transfer rate, without changes to the host application. The concept is illustrated in figure 1.

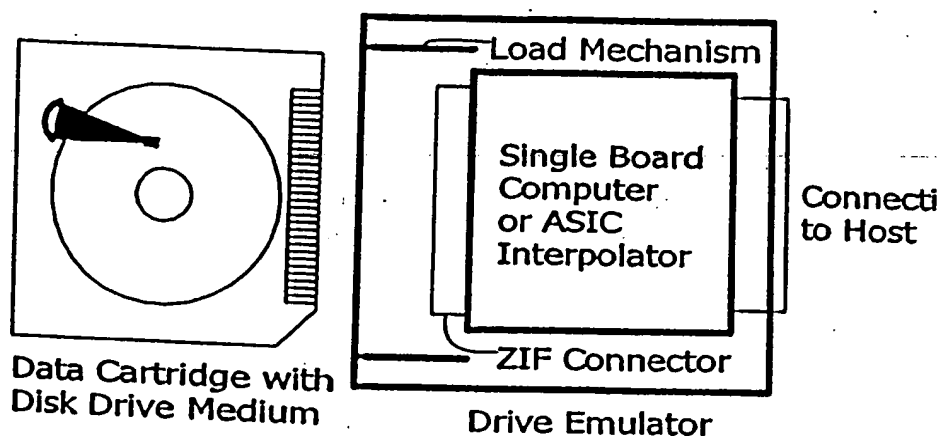


Figure 1

- ❖ The data storage element of an existing removable tape cartridge system is replaced with alternative medium such as a rigid disk drive.
  - The data cartridge physical dimensions and features are compatible with existing library automation.
  - Once the cartridge is loaded and powered up, time to data will be measured in milliseconds.
  - Current benchmark (8/2001) for single platter IDE disk drives is 40 GB, with a minimum of 20 MB/s sustained transfer rate, and approximately \$50 OEM pricing.
- ❖ The tape drive portion of the system would be replaced with an electronic interface, power supply, and receptacle mechanism for seating and electrically connecting to the cartridge. This device will herein be referred to as the "drive emulator".
  - The host application would see the drive emulator as a tape drive of the type that is being emulated.
  - Migration to larger capacity and higher data rates by upgrading the disk drive mechanism, and does not necessarily require a change in drive emulator hardware or host application drivers
  - Examples of systems where this can be implemented are 3590, 9840, 9940, SLR, DLT, and LTO.
- ❖ The data cartridge would contain at least the complete mechanical components of the disk drive, including motor, disk(s), and head actuator assembly. Analog electronics such as preamps and write drivers should also be contained within the cartridge.
- ❖ All of the disk drive electronics can be contained within the cartridge.

- The advantage of embedding all the disk drive electronics within the cartridge is the ability to use an industry standard interface (such as SCSI or IDE), without proprietary content.
- This minimizes customization, and eases migration to larger capacity drives.
- The disadvantage of embedding all the disk drive electronics into the cartridge is added weight, potentially higher cost, and lack of proprietary content.
- ❖ A portion of the disk drive electronics can reside on the drive emulator.
  - In high volume scenarios, this is approach can reduce cost to the cartridge.
  - The disadvantage of this approach is a high degree of customization, restrictions on product migration, and limitations on disk drive suppliers.
- ❖ The drive emulator can contain some form of motorized Zero Insertion Force (ZIF) socket for making robust electrical connection to the cartridge I/O and power input.
- ❖ The drive emulator receives commands and data from the host application, interprets it into the disk drive interface format, and vise versa. An example would be a SCSI host interface between host and emulator, and an EIDE interface between the emulator and cartridge disk drive.
  - The drive emulator function can be executed by a single board computer like a PC104, with the appropriate interface adapters (SCSI, EIDE, ESCON, FIBRE). This can be accomplished with commercially off-the-shelf components.
  - The same functionality with higher speed and lower cost can be achieved via custom ASIC.
- ❖ Storage elements other than disk drives can also be used (ie. Flash memory).



RECEIVED

Eric D. Levinson  
Senior Counsel

Imation Corp.  
Legal Affairs  
Mail Address: P.O. Box 64898  
Saint Paul, MN 55164-0898  
Courier: 1 Imation Place, 303-1S-14  
Oakdale, MN 55128  
651 704-3604 phone  
651 704-5951 fax  
edlevinson@imation.com  
<http://www.imation.com>

Kent Sieffert, Esq.  
Shumaker & Sieffert, P.A.  
150 Gateway Corporate Center  
576 Bielenberg Drive  
St. Paul, MN 55125

Re: *New U.S. Patent Application based upon Imation  
Invention Record 2001-0094  
Yung Yip and Alan R. Olson  
Format Compatible Rapid Access Data Cartridge  
System with Extended Capacity  
**File Number: 10305US01***

Dear Kent:

Please review the subject Imation Invention Record with a view toward the preparation of a patent application to be filed in the United States Patent and Trademark Office.

After we have determined a fixed amount or a budgeted amount, please take the necessary steps to prepare a patent application based upon the subject IIR. You may contact Yung Yip at 651/704-5091 or Alan Olson at 651/704-4821 regarding the IIR. Please supply me with a copy of all correspondence with the investigator(s). Please prepare the application in final form for filing. Please transmit the application to me in final form, along with an Imation diskette containing an electronic version of the application (preferably in Microsoft Word 7.0 format), or

by e-mail using the Norton Secret Stuff Program. I will handle filing the application with the USPTO. At that time, please also supply me with a set of claims suitable for filing via the PCT.

Please invoice me monthly during your preparation efforts identifying the file number listed in the subject heading. Each monthly invoice should also include the cumulative amount invoiced for this project. Please let me know immediately if at any time you feel that either the cost estimate or time estimate will be exceeded.

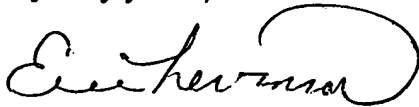
Please contact Kevin Anderson (952/703-0167), Paul Stenger (651/733-9526), or Steve Kogler (651/501-0493) for the preparation of the drawings associated with this application. These individuals have contracted with Imation for the preparation of drawings for patent applications. They will invoice Imation directly for their services.

Please arrange with my assistant, Sue Daly (651/704-5607), for the preparation of the formal papers (declaration, assignment, cover letter, etc.). The paperwork shall specify Imation as the mailing address and telephone number for correspondence with the USPTO. Under no circumstances should any paperwork be filed with the USPTO from your office indicating you or your firm as the origin of the paperwork. Imation will docket this case. Please do not include any charges, whether explicitly enumerated or not, for docketing or control of this case. Imation releases you and your firm from any liability to Imation for failure to do so.

At the time of submission of the application to me for filing, please also supply me with either a list or, preferably, a copy of each document that you deem relevant to the examination of this application in the USPTO. I will handle the preparation and filing of an Information Disclosure Statement in the USPTO.

I look forward to your response. Please let me know if you have any questions.

Very truly yours,



Eric D. Levinson

EDL/sjd

Enc.

## EXHIBIT C

**Shumaker & Sieffert, P.A.**  
**8425 Seasons Parkway, Suite 105**  
**St. Paul, MN 55125**

## Invoice

Date:	No.
10/31/2001	929

ATTN: Eric D. Levinson
Imation Corp. P.O. Box 64898 St. Paul, MN 55164-0898

TERMS		DUE DATE	YOUR REFERENCE NO		SS MATTER NO	
Net 30		11/30/2001	10305		1001-203US01	
DESCRIPTION	HRS/QTY	RATE	TIMEKEEPER	SERVICED	AMOUNT	
Review invention disclosure statement.	1.1	285.00	KJS	9/26/2001		
Photocopies / Prints	1	0.20		10/1/2001		
Prepare for and conduct invention disclosure interview.	2.1	285.00	KJS	10/9/2001		

Tax ID:41-1988229

Shumaker &amp; Sieffert contact:

Kent J. Sieffert

EXHIBIT D

Kent J. Sieffert

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From: Kent J. Sieffert  
Sent: Monday, December 10, 2001 3:46 PM  
To: 'edlevinson@imation.com'; 'yyip@imation.com'  
Subject: Patent Application - Imation 10301US01-Tape Emulation

Yung, attached is a first draft for the above-referenced patent application. Specifically, I have attached the specification in password-protected Microsoft Word format, and figures in password-protected PDF format. I'll call you with the password.

Please review the patent application for completeness and accuracy. Please contact me with comments or suggestions.

Regards,

Kent J. Sieffert  
Shumaker & Sieffert, P.A.  
150 Gateway Corporate Center I  
576 Bielenberg Drive  
St Paul, MN 55125  
tel 651-735-1100 ext. 11  
fax 651-735-1102  
email: sieffert@ssiplaw.com  
web:www.ssiplaw.com



Application - first draft.doc ...    Figures.pdf (40 KB)

## EXHIBIT E

**Shumaker & Sieffert, P.A.**  
**8425 Seasons Parkway, Suite 105**  
**St. Paul, MN 55125**

## Invoice

Date:	No.
12/31/2001	1286

ATTN: Eric D. Levinson
Imation Corp. P.O. Box 64898 St. Paul, MN 55164-0898

		TERMS	DUE DATE	YOUR REFERENCE NO		SS MATTER NO	
		Net 30	1/30/2002	10305		1001-203US01	
DESCRIPTION		HRS/QTY	RATE	TIMEKEEPER	SERVICED	AMOUNT	
Work on application.		8.5	285.00	KJS	12/5/2001		
Work on application.		5	285.00	KJS	12/6/2001		
Work on application.		0.17	285.00	KJS	12/7/2001		
Review and revise application.		1.2	310.00	SJS	12/10/2001		
Meet with Mr. Yip to review first draft of application.		2.1	285.00	KJS	12/14/2001		
Revise application.		0.7	285.00	KJS	12/18/2001		
Revise application.		3.5	285.00	KJS	12/19/2001		
Photocopies / Prints		1	0.95		12/6/2001		

Tax ID:41-1988229

Shumaker &amp; Sieffert contact:

Kent J. Sieffert

EXHIBIT F

Kent J. Sieffert

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From: Kent J. Sieffert  
Sent: Friday, December 21, 2001 2:04 PM  
To: 'edlevinson@imation.com'  
Cc: 'yyip@imation.com'; Kent J. Sieffert; 'sjdaly@imation.com'; Shirley A. Betlach  
Subject: RE: Patent Application - Imation 10305US01-Tape Emulation



Application - Figures.pdf (40 KB)  
Final.doc (80 KB...

Eric,

Attached is a final draft for the above-captioned patent application. In particular, I have attached a password protected Word file and a password-protected PDF of the figures. In addition, I am mailing you copies of the figures for filing as the PDF has dropped some markings.

Please let me know if I can be of further assistance.

Happy Holidays,

Kent

EXHIBIT G



Steven J. Shumaker  
Kent J. Sieffert  
Daniel J. Hanson\*  
Kelly Patrick Fitzgerald  
Allen J. Oh

\*not admitted in Minnesota

150 Gateway Corporate Center I  
576 Bielenberg Drive  
St. Paul, Minnesota 55125  
Tel (651) 735-1100  
Fax (651) 735-1102  
[www.ssiplaw.com](http://www.ssiplaw.com)

December 24, 2001

Eric D. Levinson, Esq.  
Senior Intellectual Property Counsel  
Imation Corp.  
One Imation Place  
Oakdale, MN 55128

Re: SYSTEM HAVING TAPE DRIVE EMULATOR AND DATA CARTRIDGE  
CARRYING A NON-TAPE STORAGE MEDIUM

Your Ref.: 10305US01

Our Ref.: 1001-203US01

Dear Eric:

Enclosed is a set of drawings for the above-identified patent application. The final draft of the application was sent to you via e-mail on December 21, 2001.

If you have any questions, please contact us at your convenience.

Very truly yours,

A handwritten signature in black ink, appearing to read "Kent J. Sieffert". The signature is fluid and cursive, with a long horizontal stroke extending from the end.

Kent J. Sieffert

KJS/sab

Enclosure

***PRIVILEGED & CONFIDENTIAL***

PERIOD-END DATE	28-Dec-01
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**PAY WEEK - 2**

PAID HRS	UNPD HRS	TOTAL HRS
80.00	0.00	80.00

Any attempt at falsifying time reporting information may result in immediate termination.



**PAY WEEK - 2**

OVERRIDES											31 1 2 3 4											OVERRIDES											7 8 9 10 11						TOTAL	
Rate	Shift	Earnings	Code	SAT	SUN	MON	TUE	WED	THU	FRI	Rate	Shift	SAT	SUN	MON	TUE	WED	THU	FRI	Rate	Shift	SAT	SUN	MON	TUE	WED	THU	FRI	Hrs											
		Regular	105					8.00	8.00	8.00					8.00	8.00	8.00	8.00	8.00						8.00	8.00	8.00	8.00	64.00											
		OT	135																										0.00											
		OT	140																										0.00											
		On Call	165				✓																						0.00											
		Holiday	215			✓	8.00																						8.00											
		Vac	205			8.00																							8.00											
																													0.00											
																													0.00											
																													0.00											
																													0.00											
		STD	212																										0.00											
		Sick	210																										0.00											
		OPA	245																										0.00											
		Co Emerg	164																										0.00											
		Jury Duty	230																										0.00											
		Guard/Res	262																										0.00											
Designated for Unpaid Codes only																												0.00												
Unpaid Abs																												0.00												
DAILY TOTALS																												0.00												

## SUPERVISOR'S SIGNATURE

PAID 1983	GRAND 1983	TOTAL 1983
80.00	0.00	80.00

Any attempt of falsify time reporting information may result in immediate termination.

## EXHIBIT I

